

06-06-01

PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002 OMB 0651-0032

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06/05/01  
11058 U.S. PTO**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 180/102/2

First Inventor Herman F. Staats

Title See 1 in Addendum

Express Mail Label No. EK580268401US

U.S. PTO  
09/874103  
06/05/01**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 62]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents,  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No 09 / 168,910

Prior application information

Examiner Landsman, R.

Group Art Unit 1647

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

(Insert Customer Number or Bar Code Label here)

or ☐ Correspondence address below

Name

25297

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Arles A. Taylor, Jr.

Registration No. (Attorney/Agent)

39,395

Signature

Arles A. Taylor, Jr.

Date

June 5, 2001

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Table 1. (continued)	
Variable	Mean (SD)
Age (years)	45.2 (10.5)
Gender	
Male	58.2 (10.5)
Female	41.8 (10.5)
Marital status	
Married	65.2 (10.5)
Single	34.8 (10.5)
Education (years)	12.5 (2.5)
Occupation	
Professional	45.2 (10.5)
Managerial	35.2 (10.5)
Clerical	15.2 (10.5)
Unemployed	2.4 (10.5)
Health status	
Good	65.2 (10.5)
Fair	34.8 (10.5)
Poor	0.0 (10.5)
Smoking status	
Smoker	35.2 (10.5)
Nonsmoker	64.8 (10.5)
Alcohol consumption	
Regular	15.2 (10.5)
Occasional	45.2 (10.5)
None	39.6 (10.5)
Family size	3.5 (1.5)
Income (USD/month)	1,200 (300)
Health insurance	
Yes	85.2 (10.5)
No	14.8 (10.5)
Chronic conditions	
Hypertension	25.2 (10.5)
Diabetes	15.2 (10.5)
Asthma	10.2 (10.5)
Heart disease	5.2 (10.5)
Other	4.4 (10.5)
Medication use	
Regular	35.2 (10.5)
Occasional	45.2 (10.5)
None	19.6 (10.5)
Healthcare utilization	
Regular	65.2 (10.5)
Occasional	34.8 (10.5)
None	0.0 (10.5)
Healthcare satisfaction	
Satisfied	65.2 (10.5)
Dissatisfied	34.8 (10.5)
Healthcare access	
Easy	65.2 (10.5)
Difficult	34.8 (10.5)
Healthcare cost	
Low	65.2 (10.5)
High	34.8 (10.5)
Healthcare quality	
Good	65.2 (10.5)
Fair	34.8 (10.5)
Poor	0.0 (10.5)

- [illegible]

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)**364.00**

## Complete if Known

Application Number

Filing Date

First Named Inventor

**Herman F. Staats**

Examiner Name

Group Art Unit

Attorney Docket No.

**180/102/2**

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
NumberDeposit  
Account  
Name

- ☐ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

**355**SUBTOTAL (1) (\$)**355.00**

## 2. EXTRA CLAIM FEES

Total Claims **21** -20\*\* = **1** X **9** = **9**  
 Independent Claims **1** -3\*\* = **0** X **40** = **0**  
 Multiple Dependent **0** X **0** = **0**

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 \*\* Reissue independent claims  
over original patent110 18 210 9 \*\* Reissue claims in excess of 20  
and over original patentSUBTOTAL (2) (\$)**9.00**

\*\*or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large  
EntitySmall  
EntityFee Fee Fee Fee  
Code (\$) Code (\$) Code (\$) Code (\$)

Fee Description

Fee Paid

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or  
cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for *ex parte* reexamination112 920\* 112 920\* Requesting publication of SIR prior to  
Examiner action113 1,840\* 113 1,840\* Requesting publication of SIR after  
Examiner action

115 110 215 55 Extension for reply within first month

116 390 216 195 Extension for reply within second month

117 890 217 445 Extension for reply within third month

118 1,390 218 695 Extension for reply within fourth month

128 1,890 228 945 Extension for reply within fifth month

119 310 219 155 Notice of Appeal

120 310 220 155 Filing a brief in support of an appeal

121 270 221 135 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,240 241 620 Petition to revive - unintentional

142 1,240 242 620 Utility issue fee (or reissue)

143 440 243 220 Design issue fee

144 600 244 300 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 50 123 50 Processing fee under 37 CFR 1.17(q)

126 180 126 180 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per  
property (times number of properties)146 710 246 355 Filing a submission after final rejection  
(37 CFR § 1.129(a))149 710 249 355 For each additional invention to be  
examined (37 CFR § 1.129(b))

179 710 279 355 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination  
of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**0.00**

## SUBMITTED BY

Name (Print/Type)

**Arles A. Taylor, Jr.**Registration No.  
(Attorney/Agent)**39,395**

## Complete (if applicable)

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**(919)493-8000**

Signature

**Arles A. Taylor, Jr.**

Date

**June 5, 2001**

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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PTO/SB/17 (11-00)

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June 5, 2001

"Express Mail" mailing number.: EK580268401US

Date of Deposit JUNE 5, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner of Patent and Trademarks, Washington, D.C.

Katrina J. Holland

*Katrina J. Holland*

Commissioner for Patents  
BOX PATENT APPLICATION  
Washington, D.C. 20231

Re: U.S. Divisional Patent Application for SUBSTANTIALLY NON-TOXIC  
BIOLOGICALLY ACTIVE MUCOSAL ADJUVANTS IN VERTEBRATE  
SUBJECTS  
Our File No. 180/104/2

Sir:

Please find enclosed the following:

1. A U.S. divisional patent application for SUBSTANTIALLY NON-TOXIC BIOLOGICALLY ACTIVE MUCOSAL ADJUVANTS IN VERTEBRATE SUBJECTS (62 pages);
2. Four (4) sheets of formal drawings;
3. Copy of executed Declaration (2 pages);
4. Copy of previously recorded executed Assignment (3 pages);
5. Utility Patent Application Transmittal Form (Form PTO/SB/05, 2 pages);
6. Fee Transmittal Form (Form PTO/SB/17) in duplicate;
7. Copy of previously filed Recordation Form Cover Sheet (Form PTO-1595, 2 pages);

Commissioner for Patents  
June 5, 2001  
Page 2

8. Copy of Notice of Recordation of Assignment Document indicating reel/frame information;
9. Information Disclosure Statement (7 pages);
10. Forms PTO/SB/08A (2 pages) and PTO/SB/08B (2 pages), in duplicate;
11. A check in the amount of \$364.00 to cover the application filing fee;
12. A return-receipt postcard to be returned to our offices with the U.S. Patent and Trademark Office date stamp thereon; and
13. A Certificate of Express Mail No.: EK580268401US.

Please contact our offices if there are any questions.

Although a check is being submitted, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment associated with the filing of this correspondence to Deposit Account Number 50-0426.

Respectfully submitted,

JENKINS & WILSON, P.A.



Arles A. Taylor, Jr.  
Registration No. 39,395  
Customer No.: 25297

AAT/ajm

Enclosures

050390-00142860